

CALIFORNIA EDUCATION FACILITIES
AUTHORITY

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The Academic Assistance Program Overview and Instructions

Academic Assistance Program for Private
Colleges and Universities to Expand
Outreach Opportunities

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California Educational Facilities Authority
Academic Assistance Program
Overview & Instructions for Grant Application

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I. Overview and Instructions for Academic Assistance Grant Program Application

Program Overview

Pursuant to Chapter 1081, Statutes of 2002 (SB1624 – Romero), the California Educational Facilities Authority (CEFA) is authorized to administer the CEFA Academic Assistance Program, a one-time, \$2 million grant program for eligible academic assistance programs. The goal of this program is to assist students in preparing for higher education and college entrance, and to promote access and opportunities for all students.

What Does the Act Require?

The California Educational Facilities Authority Act (the “Act”) authorizes CEFA to develop criteria and a process for the awarding of grants in consultation with representatives of private colleges, qualified schools and other appropriate parties. The criteria include the following:

1. The extent to which a program provides academic assistance, guidance in college admissions, or expands postsecondary opportunities for low and very-low income students.
2. The extent to which an existing program has been successful, or the extent to which a new program is feasible, ready, and well structured.
3. The extent to which the program will serve areas not currently being served.
4. The extent of an applicant’s commitment to providing need-based financial assistance to its students and the extent to which the applicant has committed its own funds, or funds obtained from other sources, to the program.

Once grants are awarded, the Act requires funded programs to be implemented within a reasonable time, as determined by CEFA. CEFA is required to annually report to the Joint Legislative Budget Committee as to where the money was spent, the total amount of each grant, and the purpose for which each grant was awarded.

The Application

Application Form

The application consists of pages 1 through 9, with Attachments A through C. Applicants shall submit a complete application with corresponding Attachments, as necessary.

Submission Dates

Applications will be accepted until Dec 2, 2005.
Each eligible applicant may apply only once.

Section A – Summary Information

Please complete Section A of the application. It is particularly important to list a contact person familiar with the application in the event Authority staff needs to contact you.

Maximum Grant Requests

- The Authority will accept grant requests up to \$250,000 from eligible private colleges, as defined. An applicant may include one or more private colleges.
- No grant shall exceed the Maximum Grant or the Matching Amount, whichever is less.

Section B – Applicant and Project Eligibility

General Eligibility Requirements:

- ♦ A qualified applicant is:

A private, non-sectarian, non-profit college/university situated in the State of California.

Accredited by the Western Association of Schools & Colleges (“WASC”) or a similarly recognized organization that provides regional accreditation.

Able to submit three years of audited financial statements.

A college or university that serves or will serve comprehensive schools that are located in low-income areas.

- ♦ Grant funds may be used to:

1. Provide academic assistance, academic enrichment or mentoring programs for low and very low-income students.
2. Provide guidance in college admissions for low and very low-income students
3. Expand postsecondary educational opportunities by informing students of the benefits of, and the requirements for, higher education, for low and very low-income students.

Section C – Program Description

- For this section, Applicants shall be awarded points based on how well the grant funds will:

- Enhance or develop an existing program or develop a proposed program (5 points).
- a. Inform students of the benefits of, and the requirements for, higher education,
b. Prepare students for college entrance, or
c. Provide academic enrichment and/or mentoring.
(Total 15 points).
- Provide academic assistance services to low income students. Criteria may include the number of hours of service provided per student and the number of students served. (15 points).

- Provide academic assistance services to very low income students. Criteria may include the number of hours of service provided per student and the number of students served. (15 points).
- Provide academic assistance services in geographic areas that are not currently being served by similar programs. (15 points).
- Provide academic assistance services to Qualified Schools, taking into consideration whether schools being served are located in a Low Income Area, or Very Low Income Area, and whether, where applicable, the percentage of pupils who graduate from the school are eligible for admission to the California State University or the University of California is below the statewide average according to the most recent information from the California Postsecondary Education Commission. (15 points)
- Be matched by its own funds or funds obtained from other sources to the program. Criteria will include, but are not limited to, the level and scope of services given the Private College's size. (10 points)
- Provide need-based financial assistance to students who otherwise could not afford to attend the Applicant's institution. Criteria will include the level and scope of assistance in relation to the Private College's size. (10 points)
- The applicant must also clearly state in the application the program's goals and objectives and the method of assessment used to determine the effectiveness of the program. (Required, but no points to be awarded).

Section D – Project Readiness and Feasibility

- Applicants shall be awarded points based on how well the Applicant demonstrates program readiness and feasibility for **new programs by providing:**
 - A timeline of program development, including the date program services are expected to begin. (Required, but no points awarded)
 - Budget projections for five years, budget assumptions and, if available, a feasibility study. (Required, but no points awarded)
 - A demonstration that the Private College can financially support the program for a minimum of five years, commencing with the fiscal year during which the grant is funded. (10 points)
 - A demonstration that the program is ready to be implemented. (10 points)

- A demonstration that the program is well structured. Criteria may include 1) the adequacy of staffing for the type of program and the projected number of students to be served, 2) the experience and expertise of Program staff and management, 3) how well the College identifies the needs of the students to be served and monitors their progress, and 4) how well the program includes new and innovative ways to promote access and opportunities for all students. (20 points)
 - A demonstration that the Private College has experience in administering a similar program (20 points). Up to 20 points may be awarded if Applicant can demonstrate that it has had success in administering similar programs or has hired personnel who have been involved in successful programs administered at other colleges.
- Applicants shall be awarded points based on how well the Applicant demonstrates ongoing feasibility for **existing programs by providing:**
- The date that program services began (Required, but no points to be awarded).
 - A demonstration that the program identifies student needs and monitors student progress. (30 points).
 - A demonstration that the program has an established record of success. Criteria may include but is not limited to improvement of student SAT scores, high school graduation rates, or college acceptance rates in the Qualified Schools that the Private College serves (30 points).
- If outside funding sources other than the CEFA Academic Assistance Grant are required to fund the program, the Applicant shall provide an approval or commitment letter from the other funding sources, confirming that the funding is secured and available in accordance with the program timeline and budget **(20 points will be deducted if documentation is not provided).**

Section E – Sources and Uses of Funds

The Applicant's funding sources and proposed use of funds will be detailed in this section. No points are awarded for this section. This Information will be used to evaluate the financial commitment of the Private College as well as other funding sources.

- Applicants must detail all sources of funds needed for the next five years, including, internal assets or other funding sources. If the program is or will be supported by other than an internal funding source, please provide approval or commitment letters for the support of the program.
- Applicants must detail how the funds will be used within the program.

Section F – Financial Capacity

In this section, Authority staff will evaluate the Applicant's financial stability. No points are awarded for this section, but an application may be rejected based on a lack of stability. Criteria may include profitability and strength of balance sheet.

Allocation Process

Initial Allocation

Staff will conduct a review of the application and will notify the applicant in writing of the recommendation.

Appeals

- (a) Availability. An Applicant may file an appeal of the initial allocation. The grounds for any such appeal shall be limited to applicant eligibility or the proposed expense of the project. No applicant may appeal the Authority staff evaluation of another applicant's application.
- (b) Timing. The appeal shall be submitted in writing and must be received by the Authority no later than ten (10) calendar days following the transmittal date of the notification of initial allocation of each funding round.
- (c) Review. Authority staff shall review the written appeal based upon the existing documentation submitted by the Applicant when the Application Form was filed and any other information Authority staff requests of the Applicant. Authority staff shall make a finding as to the merit of the appeal and shall notify the Applicant as to the decision no later than ten (10) calendar days after the receipt of an appeal. In the event that Authority staff does not approve an appeal, the Applicant may further appeal to the Authority. Applicant shall notify the Executive Director in writing no later than ten (10) calendar days prior to the next scheduled Authority meeting that the Applicant shall further appeal to the Authority. Any such appeal must be presented by the Applicant, in person, at the same meeting of the Authority where the initial allocations are considered for final approval as Grants. Any decision made by the Authority shall be final.

Final Allocation

When initial allocations have been finally determined, taking into account any appeals, if applicable, Authority staff will recommend to the Authority the initial allocations for consideration and approval as final allocations at a regularly scheduled Authority meeting that is closest to sixty days from receipt of the original application. Final allocations approved by the Authority will be awarded as grants to recipients.

Release of Grant Funds

No grant funds will be released until the following information has been provided to the satisfaction of Authority staff:

1. Verification of all other funds, if needed, is in place to operate the program.
2. An executed Grant Agreement.

3. Authority staff is satisfied that the program is ready to be implemented or use of funds for existing programs has been clearly outlined.

Completion of the Grant Funded Project

The CEFA grant recipient shall certify to the Authority when all CEFA grant funds have been expended and provide the following supporting documentation:

1. Documentation that shows how funds were expended in each fiscal year the grant funds were disbursed, including a statement of sources and uses of funds for the program.
2. A final report on the status of the program will be required at the end of the fiscal year following the final year that grant funds were expended. Information provided to the Authority shall include, but is not limited to, a) the number of students served by the program, and b) the number of students who attended or will be attending a college or university.

If the recipient fails to expend grant funds as approved in thirty-six (36) months of final allocation, the Authority may require remedies, including the forfeiture and return of grant funds to the Authority. On a case-by-case basis, the Authority or Authority staff may extend the project completion date for extraordinary or unavoidable delays where the grantee can demonstrate that it occurred through no fault of its own.

Recovery of Funds for Non-Performance

If the Authority determines that grants were not used as approved, the Authority may require remedies, including the forfeiture and return of all grant funds to the Authority.

Unused/Remaining Grant Funds

Any grant funds that have been allocated, but are returned for any reason, will be allocated to the Applicant with the highest scoring evaluation among those Applicants that did not previously receive a grant allocation.

In the event that there are any remaining funds after the Authority's approval of final allocations of all eligible Private Colleges or by the date June 30, xxxx, whichever is later, the Authority may, in its sole discretion, award grants of those remaining funds to Applicants in a manner that is consistent with the purposes of the Act.

Approval of Grant Use Change

The Authority or Authority staff, as appropriate, may, on a case by case basis, consider a change in the use of grant funds if the Applicant demonstrates, to the satisfaction of the Authority or Authority staff, that the change is consistent with the purposes of the Act.

Audits

The Bureau of State Audits or Authority staff may conduct periodic audits to ensure grantees are using grant funds in accordance with the Act. Recipients shall retain all program and financial data necessary to substantiate the purposes for which the grant funds were spent for a period of three years or until June 30, 20XX, whichever is later after the certification of completion of the project has been submitted.

Internet and E-Mail Communications

Additional copies of this application can be obtained at the following website:
www.treasurer.ca.gov. Continue to check our website for future program updates.

Grant Application Submission

Submission Directions

In the order listed, applicants shall place the following information in a binder and submit one original and one copy of the entire application.

Submit to: California Educational Facilities Authority
915 Capitol Mall, Suite 590
Sacramento, CA 95814

TAB 1: General Information

Applicants must submit the following:

- ✓ Completed pages 1-8 of the application
- ✓ Any third-party data or other information requested in the appropriate application sections.
- ✓ Letters of support from the “Qualified School” to be served.

TAB 2: Agency Finances

Include the last three years of audited financial statements.

TAB 3: Organizational Information

- ✓ Latest accreditation notification from the Western Association of Schools & Colleges (“WASC”) or the Committee of Bar Examiners of the State Bar or the American Bar Association (“Bar Examiners”).
- ✓ A copy of the applicant’s 501(c)(3) determination letter from the Internal Revenue Service and either the tax-exemption letter or the Letter of Good Standing from the Franchise Tax Board.
- ✓ A copy of the applicants Articles of Incorporation and Bylaws.

TAB 4: Legal Information

Applicants shall review and respond to the questions in Attachment A and disclose all relevant information in Attachment B. Both attachments must be included under Tab 4.

TAB 5: Certifications

The Agreement and Certification (Attachment C of application) must be executed by the Chief Executive Officer, Chief Financial Officer or other authorized officer of the applicant and included under Tab 5.

II. Definitions

(a) “Academic Assistance” may include, but is not limited to, services that inform pupils attending a Qualified School of the benefits of, and the requirements for, higher education to any four year, degree granting educational institution that is regionally accredited and empowered to provide a program of education beyond the high school level. These services may include assistance with 1) developing career plans, 2) making educational plans including plans for secondary school graduation and higher education, and 3) selecting appropriate courses to meet an educational plan or academic requirements. These services may also include providing workshops or individualized assistance that help pupils attending a Qualified School apply to and prepare for a range of public and nonpublic higher educational opportunities and that assist pupils prepare for college entrance examinations, obtain and complete college entrance applications or forms, and obtain and complete financial aid applications.

(b) “Academic Enrichment” may include, but is not limited to, any of the following services that develop skills and experiences to support the transition of pupils attending a Qualified School to the college learning environment: 1) assistance with academic subjects, such as reading, math, and science, 2) assistance with study and test preparation skills, and 3) enrichment programs (such as going to museums and lectures), college campus visits, on-campus summer programs and workshops on college life.

(c) “Act” means Article 9 (Commencing with Section 94215) of Chapter 2 of Part 59 of Division 10 of the Education Code.

(d) “Actual Expenditures for Program in Most Recent Year” means the total direct and indirect costs of the program that were paid by the Applicant in the most recent fiscal-year.

(e) “Administrative Costs” means actual costs incurred by the Authority and other state agencies as permitted by law for administering the CEFA Academic Assistance Grant Program.

(f) “Allocation” means the amount of funds awarded to an Applicant by the Authority.

(g) “Applicant” means either one of the following:

1) An individual Private College that submits to the Authority an application for a grant award.

(2) Two or more eligible Private Colleges that have entered into an intercollege agreement for the purposes of the Act to offer grant eligible programs and that submit to the Authority an application for a grant award.

- (h) “Application Form” means the request by an Applicant to the Authority for a Grant under the CEFA Academic Assistance Grant Program which includes pages 1-9, Attachments A-C and all materials submitted with Form #CEFA 2005-7, Rev. 8-2005.
- (i) “CEFA Academic Assistance Grant Program” means the program administered by the Authority to make grants pursuant to the Act.
- (j) “Comprehensive School” [is a ‘Comprehensive High School’, as defined in California Code of Regulations, Title 2, Section 1859.2] means a high school that serves grades 7 through 12 or 9 through 12 and that offers a variety of curricula, including common courses that emphasize academic achievement and traditional subjects that all students are required to take.
- (k) “Eligible Program” or “program” means a program for pupils attending a Qualified School that informs the pupils of the benefits of, and the requirements for, higher education; prepares the pupils for college entrance; advances the academic standing of these pupils; or any combination thereof by providing an Academic Assistance program, an Academic Enrichment program, a Mentoring Assistance program, or any combination thereof.
- (l) “Going Concern Qualification” means an assumption by an auditor that the carrying value of an entity’s assets will be realized and its liabilities will be liquidated in the ordinary course of continuing business activity.
- (m) “Grant” means a grant awarded pursuant to the CEFA Academic Assistance Grant Program.
- (n) “Grantee” means an Applicant that has received Grant approval by the Authority.
- (o) “Grant Agreement” means a written agreement for a Grant entered into between a Grantee and the Authority.
- (p) “Low income area” means an enrollment area for a high school with 30 percent or greater enrollment in the free or reduced fee program, as determined by the State Department of Education.
- (q) “Low income student” means a student who is eligible under the reduced fee meal program, as determined by the California State Department of Education.
- (r) “Matching Amount” shall not exceed twice the amount that the Applicant has proposed expending on the program.
- (s) “Maximum Grant” means \$250,000 per Applicant.
- (t) “Mentoring Assistance” may include, but is not limited to, any program that provides guidance and support to students in academics and preparation for the transition from high school to college and college life.

(u) “Most Recent Audited Financial Statement” means a financial statement audited by an independent accounting firm for the most recent fiscal year-end prior to the Application Form submission date.

(v) “Private College” has the same meaning as in subdivision (i) of section 94110 of the Education Code.

(w) “Program Funding Period” means a defined beginning and end date to be approved by the Authority for implementation of the program by which time all program funds must be expended.

(x) “Proposed Allocation” means the proposed amount of funds to be awarded an Applicant in a Funding Round based on score and rank.

(y) “Qualified School” has the same meaning as in Section 94215.9 of the Education Code.

(z) “Total Grant Funds” means \$2 million less Administrative Costs.

(aa) “Very low income area” means an enrollment area for a high school with 70 percent or greater enrollment in the free or reduced fee meal program, as determined by the State Department of Education.

(bb) “Very low income student” means a student who is eligible under the free meal program, as determined by the State Department of Education.

NOTE: Authority Cited: Sections 94140 and 94215.7 of the Education Code.
Reference: Section 94215.3 and 94215.9 of the Education Code.